

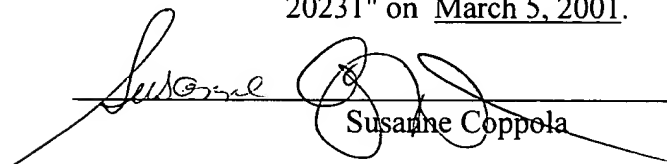


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PATENT APPLICATION

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail in an envelope addressed to: "Commissioner for Patents, Washington, D.C. 20231" on March 5, 2001.

  
Susanne Coppola

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT(S) : Lalit Narayan and Dechu P. Muthana  
SERIAL NO. : 09/766,714  
FILED : January 22, 2001  
FOR : Securities Trading System and Related Method Using  
Security Pools  
GROUP ART UNIT : unknown  
EXAMINER : unknown

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Commissioner for Patents  
Washington, D.C. 20231

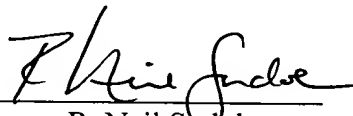
INFORMATION DISCLOSURE STATEMENT

S I R:

Pursuant to the Duty to Disclose under 37 C.F.R. §1.56(a), applicant encloses herewith a copy of an Information Disclosure Citation listing patent documents relevant to the background of the invention described and claimed in the above-identified application. Also enclosed are copies of the listed documents.

Applicant respectfully requests that the Examiner consider the enclosed references in determining the patentability of the claimed invention. Applicant also requests that the Examiner return a copy of the enclosed Information Disclosure Citation with initials or other marks indicating that the references have been so considered.

Respectfully submitted,  
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Dated: February 28, 2001



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| <b>INFORMATION DISCLOSURE<br/>CITATION IN AN APPLICATION</b> | Atty Ref: B41-004                              | Serial No: 09/766,714 |
|  | Applicants: Lalit Narayan and Dechu P. Muthana |                       |
|  | Filing Date: January 22, 2001                  | Art Unit: unknown     |

| United States Patent Documents |                 |                  |                |       |          |                    |
|--------------------------------|-----------------|------------------|----------------|-------|----------|--------------------|
| Examiner Initial               | Document Number | Date             | Name           | Class | Subclass | Filing Date        |
|                                | 4,412,287       | October 25, 1983 | Braddock, III  |       |          | September 15, 1982 |
|                                | 6,058,379       | May 2, 2000      | Odom et al.    |       |          | July 11, 1997      |
|                                | 5,563,783       | October 8, 1996  | Stolfo, et al. |       |          | April 4, 1995      |
|                                |                 |                  |                |       |          |                    |

| Foreign Patent Documents |                 |      |         |       |          |             |    |  |
|--------------------------|-----------------|------|---------|-------|----------|-------------|----|--|
| Examiner Initial         | Document Number | Date | Country | Class | Subclass | Translation |    |  |
|                          |                 |      |         |       |          | Yes         | No |  |
|                          | - NONE -        |      |         |       |          |             |    |  |

| Other Documents  |          |
|------------------|----------|
| Examiner Initial | Citation |
|                  | - NONE - |

|   |                  |
|---|------------------|
| Examiner:   | Date Considered: |
| EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant. |                  |